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| FORM PTO-139 (REV. 10-2003) | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | ATTORNEY'S DOCKET NUMBER 10191/4234 | |
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371 | | | | U.S. APPLICATION NO. (If known; see 37 CFR 1.5) 10/544097 | |
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| INTERNATIONAL APPLICATION NO. PCT/DE2004/000144 | | INTERNATIONAL FILING DATE 30 January 2004 (30.01.04) | | PRIORITY DATES CLAIMED: 30 January 2003 23 June 2003 (30.01.03) (23.06.03) | |
| TITLE OF INVENTION STATE VARIABLE AND PARAMETER ESTIMATORS HAVING A PLURALITY OF SUBMODELS FOR AN ELECTRICAL ENERGY STORE | | | | | |
| APPLICANT(S) FOR DO/EO/US Eberhard SCHOCH | | | | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | | | | |
| 1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. 3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input type="checkbox"/> The US has been elected (Article 31). 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input checked="" type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). a. <input checked="" type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input checked="" type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)) (unsigned) 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). | | | | | |
| Items 11 to 20 below concern document(s) or information included: | | | | | |
| 11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input checked="" type="checkbox"/> A preliminary amendment. 14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76. 15. <input checked="" type="checkbox"/> A Substitute Specification, and a mark-up copy thereof. 16. <input type="checkbox"/> A power of attorney and/or change of address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825. 18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). 20. <input checked="" type="checkbox"/> Other items or information: International Search Report (translated), and Form PCT/RO/101. | | | | | |

Express Mail No.: E✓331377807

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| U.S. APPLICATION NO. (if known, see 37 CFR 1.51) 20/544097 | | INTERNATIONAL APPLICATION NO. PCT/DE2004/000144 | | ATTORNEY'S DOCKET NUMBER 10191/4234 | |
| The following fees are submitted: | | | | | |
| 21. <input checked="" type="checkbox"/> Basic National Fee | | \$ 300.00 | \$ 300.00 | | |
| 22. <input type="checkbox"/> Examination Fee | | | | | |
| —If International preliminary exam report prepared by USPTO and all claims satisfy provisions of PCT Article 33/(1)(4)..... | | \$ 100.00 | | | |
| <input checked="" type="checkbox"/> All other situations..... | | \$ 200.00 | \$ 200.00 | | |
| 23. <input type="checkbox"/> Search Fee | | | | | |
| —Search Fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as ISA..... | | \$ 100.00 | | | |
| <input checked="" type="checkbox"/> International Search Report prepared and provided to the Office. | | \$ 400.00 | \$ 400.00 | | |
| —All other situations..... | | \$ 500.00 | \$ | | |
| TOTAL OF (21), (22), & (23) = | | | \$ 900.00 | | |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing on computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof. | | | | | |
| Total Sheets | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE | | |
| -100 | /50= | | x \$250 | \$ | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)). | | | \$ | | |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | | |
| Total Claims | 16 - 20 = | 0 | x \$50.00 | \$ | |
| Independent Claims | 2 - 3 = | 0 | x \$200.00 | \$ | |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | + \$360.00 | \$ | |
| TOTAL OF ABOVE CALCULATIONS = | | | \$ 900.00 | | |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2. | | | | | |
| SUBTOTAL = | | | \$ 900.00 | | |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)). | | | \$ | | |
| TOTAL NATIONAL FEE = | | | \$ | | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet. \$40.00 per property. | | | \$ | | |
| TOTAL FEES ENCLOSED = | | | \$ 900.00 | | |
| a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed. | | | Amount to be refunded: | \$ | |
| b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>11-0600</u> in the amount of <u>\$900.00</u> to cover the above fees. A duplicate of this sheet is enclosed. | | | Amount to be charged | \$ 900.00 | |
| c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment toDeposit Account No. <u>11-0600</u> . A duplicate copy of this sheet is enclosed. | | | | | |
| d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038. | | | | | |
| NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status. <i>B: 18 Sept 04 N+41,170</i> | | | | | |
| SEND ALL CORRESPONDENCE TO: | | | SIGNATURE | | |
| KENYON & KENYON | | | <i>Richard L. Mayer</i> | | |
| One Broadway | | | Richard L. Mayer (Reg. No. 22,490) | | |
| New York, New York 10004 | | | NAME | | |
| CUSTOMER NO. 26646 | | | <i>8/1/05</i> | | |
| | | | DATE | | |